XV)



### E UNITED STATES PATENT AND TRADEMARK OFFICE

1724

Applicant: Warren et al.

Examiner:

Art Unit: 1724

Serial No: 10/613,950 Filed: July 3, 2003

For: SINGLE-USE LONG-LIFE FAUCET-MOUNTED WATER FILTRATION

**DEVICES** 

Docket 8172

9213 Chillicothe Road Kirtland, Ohio 44094

May 4, 2004

COMMISSIONER OF PATENTS P. O. BOX 1450 Alexandria, Virginia 22313-1450

# INFORMATION DISCLOSURE STATEMENT PURSUANT TO 37 C.F.R. §§1.97 AND 1.98

Dear Sir:

A. (1) Applicant hereby discloses the following US and Foreign Patent Document(s) pursuant to 37 C.F.R. §1.98. US Patent publication numbers are set forth with just the 6 or 7 digit patent number and the abbreviation "US" is not included.

	Publication No.	Publication Date	Inventor
1.	5,989,425	11-23-1999	YONEZAWA
2.	5,017,286	05-21-1991	HEILIGMANN
3.	RE 35667	11-25-1997	HEILIGMANN
4.	5,527,451	06-18-1996	HEMBREE
5.	6,571,960B2	06-03-2003	WILLIAMSON

6.	6,284,129B1	09-04-2001	GIORDANO
7.	5,525,214	06-11-1996	HEMBREE
8.	6,241,880	06-05-2001	YAHR
9.	5,652,008	07-29-1997	HEILIGMANN
10.	6,123,837	09-26-2000	WADSWORTH
11.	4,980,073	12-25-1990	WOODRUFF
12.	4,918,426	04-17-1990	BUTTS
13.	4,934,597	06-19-1990	CRUTCHER
14.	4,686,037	08-11-1997	LANG
15.	4,504,389	03-12-1985	RUNDZAITIS
16.	4,359,384	11-16-1982	BRANE
17.	4,172,796	10-30-1979	CORDER
18.	4,151,092	04-24-1979	GRIMM
19.	6,571,960B2	06-03-2003	WILLIAMSON
20.	JP2001-162113	06-19-2001	TORAY IND INC
21.	JP2000-304141	11-02-2000	TORAY IND INC
22.	JP2000-210661	08-02-2000	TORAY IND INC
23.	JP11-270720	10-05-1999	TORAY IND INC
24.	JP11-217858	08-10-1999	TORAY IND INC
25.	JP09-264441	10-07-1997	TORAY IND INC.
26.	3,746,171	07-17-1973	THOMSEN

27.	6,241,103B1	06-05-2001	HEMBREE
28.	not used		
29.	D256,944	09-16-1980	FOX
30.	D377,515	01-21-1997	HEMBREE
31.	4,686,037	08-11-1987	LANG
32.	5,192,436	03-09-1993	SASAKI
33.	4,379,053	04-05-1983	BRANE
34.	D296925	07-26-1988	GROEZINGER
35.	2,955,712	10-11-1960	GUTKOWSKI
36.	2,568,181	09-18-1951	ZIMMERMAN
37.	D328,333	07-28-1992	CASBERG
38.	5,328,609	07-12-1994	MAGNUSSON
39.	4,698,164	10-06-1987	ELLIS
40.	5,254,242	10-19-1993	VAN DER MEER
41.	5,050,772	09-24-1991	BRANE
42.	5,065,901	11-19-1991	BRANE
43.	4,770,768	09-13-1988	LANG
44.	4,918,426	04-17-1990	BUTTS
45.	JP 09-264436	10-07-1997	TORAY IND INC, .
46.	JP 09-253533	September 30, 1997	TORAY IND INC.,
47.	4,489,616	12-25-1984	PRIDDY

48.	5,099,870	03-31-1992	MOORE
49.	4,885,081	12-05-1989	OLIVER
50.	5,089,144	02-18-1992	OZKAHYAOGLU
51.	4,772,386	09-20-1988	GROUT
52.	4,681,677	07-21-1987	KUH
53.	5,785,844	07-28-1998	LUND
54.	5,536,394	07-16-1996	LUND
55.	6,517,720B1	02-11-2003	ALDRED
56.	6,482,325	11-19-2002	CORLETT
57.	6,517,707B2	02-11-2003	GIORDANO
58.	6,093,313	07-25-2000	BOVAIRD
59.	4,147,631	04-03-1979	DEINES
60.	3,853,761	12-10-1974	MCCLORY
61.	3,443,753	05-13-1969	MCDONNELL
62.	0,527,451	10-16-1894	RICHARDS
63.	4,107,046	08-15-1978	CORDER
64.	6,251,274B1	06-26-2001	SHEPHERD
65.	5,685,981	11-11-1997	KOSLOW
66.	JP 07-116657	05-09-1995	TORAY IND INC.
67.	JP 62-180176	08-07-1987	TORAY IND INC.
68.	JP 62-155380	10-07-1987	TORAY IND INC.

69.	JP 58-187666	11-01-1983	TORAY IND INC.
70.	JP 57-016823	08-10-1983	TORAY IND INC.
71.	JP 2003-156160	05-30-2003	TORAY IND INC.
72.	5,580,447	12-03-1996	PLATTER
73.	5,340,478	08-23-1994	STRAND
74.	5,279,748	01-18-1994	HACKETT
75.	5,273,650	12-28-1993	VERMES
76.	5,256,287	10-26-1993	UNDERWOOD
77.	5,164,082	11-17-1992	LIN
78.	5,151,179	09-29-1992	BACH
79.	5,108,606	04-28-1992	MAGLIO
80.	5,248,417	09-28-1993	REID
81.	5,622,618	04-22-1997	BRANE
82.	5,976,362	11-02-1999	WADSWORTH
83.	5,337,956	08-16-1994	CRUTCHER
84.	5,753,118	05-19-1998	YANG
85.	5,160,038	11-03-1992	HARADA
86.	5,976,432	11-02-1999	YANG
87.	5,705,067	01-06-1998	SUMI
88.	D441,834S	05-08-2001	MCGRATH
89.	6,149,801	11-21-2000	GIORDANO

90.	6,106,705	08-22-2000	GIORDANO
91.	JP 2003-156161A	05-30-2003	TORAY IND INC.
92.	GB2093005	08-25-1982	STANDARD
93.	EP0 537 528A1	04-21-1993	JANIX
94.	5,935,426	08-10-1999	Giordano
95.	5,833,849	11-10-1998	Primdahl
96.	D398703	09-22-1998	HAYES
	,	1 . 1 7	

- 97. www.torayvino.com web page dated June 6, 2003 along with a translation into English, 15 pages
- 98. www.purwater.com web page dated Aug. 22, 2003, 11 pages
- 99. pur advertisement, 2 pages

100. JP 09-253424	September 30, 1997	TORAY IND INC.
101. JP 07-349220	June 30, 1997	TORAY IND INC.
102. JP 09-168708	June 30, 1997	TORAY IND INC.
103. JP 09-144913	June 3, 1997	TORAY IND INC.
104. 4,769,135	09-06-1988	Norton

- B. Copies of the patents and literature are included herewith pursuant to 37 C.F.R. §1.98.
  - C. Explanation of Relevance pursuant to 37 C.F.R. §1.98.
- 1. 5,989,425 issued 11-23-1999 to YONEZAWA discloses a multi-way valve and water purifier using same.

- 2. 5,017,286 issued 05-21-1991 to HEILIGMANN discloses a faucet-mounted water filter.
- 3. RE 35667 issued 11-25-1997 to HEILIGMANN discloses a faucet-mounted water filter.
- 4. 5,527,451 issued 06-18-1996 to HEMBREE discloses a water treatment device with volume totalization valve.
- 5. 6,571,960B2 issued 06-03-2003 to WILLIAMSON discloses a faucet-mounted water filtration device.
- 6. 6,284,129B1 issued 09-04-2001 to GIORDANO discloses a water treatment device with volumetric and time monitoring features.
- 7. 5,525,214 issued 06-11-1996 to HEMBREE discloses a filter cartridge for a water treatment device.
- 8. 6,241,880 issued 06-05-2001 to YAHR discloses a self-cleaning faucet filter.
- 9. 5,652,008 issued 07-29-1997 to HEILIGMANN discloses a universal water filtration device and method of filtering water.
- 10. 6,123,837 issued 09-26-2000 to WADSWORTH discloses a faucet mounted water filter.
- 11. 4,980,073 issued 12-25-1990 to WOODRUFF discloses a valve stem for a filter device.
- 12. 4,918,426 issued 04-17-1990 to BUTTS discloses an end of life flow indicator.
- 13. 4,934,597 issued 06-19-1990 to CRUTCHER discloses a fountain attachment for a

faucet.

- 14. 4,686,037 issued 08-11-1997 to LANG discloses a water filter.
- 15. 4,504,389 issued 03-12-1985 to RUNDZAITIS discloses a water filter.
- 16. 4,359,384 issued 11-16-1982 to BRANE discloses a self-locking filter valve.
- 17. 4,172,796 issued 10-30-1979 to CORDER discloses a water purifier apparatus.
- 18. 4,151,092 issued 04-24-1979 to GRIMM discloses a portable water system.
- 19. 6,571,960B2 issued 06-03-2003 to WILLIAMSON discloses a faucet-mounted water filtration device.
- 20. JP2001-162113, published 06-19-2001, applicant TORAY IND INC, discloses a switching valve and water purifier.
- 21. JP2000-304141, published 11-02-2000, applicant TORAY IND INC, discloses a channel switching valve and water purifier.
- 22. JP2000-210661, published 08-02-2000, applicant TORAY IND INC, discloses a multiple way valve and purifier.
- 23. JP11-270720, published 10-05-1999, applicant TORAY IND INC, discloses a multidirectional valve and water purifier.
- 24. JP11-217858, published 08-10-1999, applicant TORAY IND INC, discloses a multidirectional valve and water cleaner.
- 25. JP09-264441, published 10-07-1997, applicant TORAY IND INC., discloses a directional control valve and water purifier.
- 26. 3,746,171 issued 07-17-1973 to THOMSEN discloses a filter.

- 27. 6,241,103B1 issued 06-05-2001 to HEMBREE discloses a filter cartridge for water treatment device.
- 28. not used.
- 29. D256,944 issued 09-16-1980 to FOX discloses a water filter.
- 30. D377,515 issued 01-21-1997 to HEMBREE discloses a water filter cartridge.
- 31. 4,686,037 issued 08-11-1987 to LANG discloses a water filter aparatus.
- 32. 5,192,436 issued 03-09-1993 to SASAKI discloses a tap water purifier to be directly coupled to faucet pipe.
- 33. 4,379,053 issued 04-05-1983 to BRANE discloses a filter bypass valve assembly.
- 34. D296925 issued 07-26-1988 to GROEZINGER discloses a twist on disposable filter.
- 35. 2,955,712 issued 10-11-1960 to GUTKOWSKI discloses a high pressure oil filter unit.
- 36. 2,568,181 issued 09-18-1951 to ZIMMERMAN discloses a quickly removable filter casing cover.
- 37. D328,333 issued 07-28-1992 to CASBERG discloses a container for swimming pool chemical tablets for use in skimmers, floater or feeders.
- 38. 5,328,609 issued 07-12-1994 to MAGNUSSON discloses a multi-stage radial flow filtration system.
- 39. 4,698,164 issued 10-06-1987 to ELLIS discloses a filter apparatus.
- 40. 5,254,242 issued 10-19-1993 to VAN DER MEER discloses a filtration unit

- having means for preventing reuse of the filter.
- 41. 5,050,772 issued 09-24-1991 to BRANE discloses an apparatus for monitoring flow of fluid through a filter medium.
- 42. 5,065,901 issued 11-19-1991 to BRANE discloses an apparatus for monitoring a flow of fluid through a filter medium.
- 43. 4,770,768 issued 09-13-1988 to LANG discloses a water filter apparatus and aerator assembly.
- 44. 4,918,426 issued 04-17-1990 to BUTTS discloses a method and apparatus for sensing fluid flow volume to indicate end of filter life.
- 45. JP 09-264436, published 10-07-1997, applicant TORAY IND INC, discloses a bidirectional valve and water purifier.
- 46. JP 09-253533, published September 30, 1997, applicant TORAY IND INC., discloses an anchored water purifier.
- 47. 4,489,616 issued 12-25-1984 to PRIDDY discloses a digital fluid flow meter.
- 48. 5,099,870 issued 03-31-1992 to MOORE discloses an emergency shutoff valve.
- 49. 4,885,081 issued 12-05-1989 to OLIVER discloses a drinking water delivery system with purity indicator.
- 50. 5,089,144 issued 02-18-1992 to OZKAHYAOGLU discloses a filter condition indicator having a moveable sensor and aggregate flow counter.
- 51. 4,772,386 issued 09-20-1988 to GROUT discloses a filter with liquid meter.
- 52. 4,681,677 issued 07-21-1987 to KUH discloses a water processor having shutoff

- and bypass means.
- 53. 5,785,844 issued 07-28-1998 to LUND discloses an end of life mechanism for water treatment cartridge.
- 54. 5,536,394 issued 07-16-1996 to LUND discloses an end of life mechanism for water treatment cartridge.
- 55. 6,517,720B1 issued 02-11-2003 to ALDRED discloses a filter with above counter access for cartridge renewal.
- 56. 6,482,325 issued 11-19-2002 to CORLETT discloses an apparatus and process for separation and recovery of liquid and slurry abrasives used for polishing.
- 57. 6,517,707B2 issued 02-11-2003 to GIORDANO discloses a water treatment device with volumetric and time monitoring features.
- 58. 6,093,313 issued 07-25-2000 to BOVAIRD discloses a multiple discharge water faucet with a self-contained filter.
- 59. 4,147,631 issued 04-03-1979 to DEINES discloses a water control and distribution apparatus.
- 60. 3,853,761 issued 12-10-1974 to MCCLORY discloses a water faucet filter.
- 61. 3,443,753 issued 05-13-1969 to MCDONNELL discloses a fountain attachment for faucets.
- 62. 0,527,451 issued 10-16-1894 to RICHARDS discloses a traveling grate furnace.
- 63. 4,107,046 issued 08-15-1978 to CORDER discloses a water purifier.
- 64. 6,251,274B1 issued 06-26-2001 to SHEPHERD discloses a faucet attachment for

- treating water.
- 65. 5,685,981 issued 11-11-1997 to KOSLOW discloses a water filter.
- 66. JP 07-116657, published 05-09-1995, applicant TORAY IND INC., discloses a water purifier.
- 67. JP 62-180176, published 08-07-1987, applicant TORAY IND INC., discloses a rotary valve.
- 68. JP 62-155380, published 10-07-1987, applicant TORAY IND INC., discloses a rotary valve.
- 69. JP 58-187666, published 11-01-1983, applicant TORAY IND INC., discloses a rotary valve.
- 70. JP 57-016823, published 08-10-1983, applicant TORAY IND INC., discloses a rotary valve.
- 71. JP 2003-156160, published 05-30-2003, applicant TORAY IND INC., discloses a water purifier.
- 72. 5,580,447 issued 12-03-1996 to PLATTER discloses a biocide filter.
- 73. 5,340,478 issued 08-23-1994 to STRAND discloses a dual chamber water filter.
- 74. 5,279,748 issued 01-18-1994 to HACKETT discloses a pool filter.
- 75. 5,273,650 issued 12-28-1993 to VERMES discloses a ceramic filter.
- 76. 5,256,287 issued 10-26-1993 to UNDERWOOD discloses a cartridge filter for faucet attachment.
- 77. 5,164,082 issued 11-17-1992 to LIN discloses a water filter having a level

- controlled plunger.
- 78. 5,151,179 issued 09-29-1992 to BACH discloses a faucet connected water filter.
- 79. 5,108,606 issued 04-28-1992 to MAGLIO discloses a water purification device.
- 80. 5,248,417 issued 09-28-1993 to REID disclose a double flow-through filter apparatus.
- 81. 5,622,618 issued 04-22-1997 to BRANE discloses an apparatus for monitoring cumulative flow of fluid through a filter medium.
- 82. 5,976,362 issued 11-02-1999 to WADSWORTH discloses a faucet mounted water filter.
- 83. 5,337,956 issued 08-16-1994 to CRUTCHER discloses a combination toy and faucet fountain.
- 84. 5,753,118 issued 05-19-1998 to YANG discloses a faucet and filter assembly.
- 85. 5,160,038 issued 11-03-1992 to HARADA discloses a water purifying apparatus.
- 86. 5,976,432 issued 11-02-1999 to YANG discloses carbon block filter elements.
- 87. 5,705,067 issued 01-06-1998 to SUMI discloses a mixing facet with water faucet.
- 88. D441,834S issued 05-08-2001 to MCGRATH discloses a sink sprayer.
- 89. 6,149,801 issued 11-21-2000 to GIORDANO discloses a water treatment device with volumetric monitoring features.
- 90. 6,106,705 issued 08-22-2000 to GIORDANO discloses a water treatment device with volumetric and time monitoring features.
- 91. JP 2003-156161A, published 05-30-2003, applicant TORAY IND INC., discloses

- a water purifier.
- 92. GB2093005 published 08-25-1982 to STANDARD discloses a filter for liquids.
- 93. EP0 537 528A1 published 04-21-1993 to JANIX discloses an ion producing appratus.
- 94. 5,935,426 issued 08-10-1999 to Giordano discloses a water treeatment device with volumetric and time monitoring features.
- 95. 5,833,849 issued 11-10-1998 to Primdahl discloses a spout mounted water filter extension.
- 96. D398703, issued 09-22-1998 to HAYES. discloses a faucet mounter water treatment apparatus.
- 97. www.torayvino.com web page dated June 6, 2003 along with a translation into English, 15 pages, discloses various water filters.
- 98. www.purwater.com web page dated Aug. 22, 2003, 11 pages, discloses various water filters.
- 99. pur advertisement, 2 pages, discloses a water filtration system.
- 100. JP 09-253424, published September 30, 1997, applicant TORAY IND INC., discloses a water purifying apparatus.
- 101. JP 07-349220, published June 30, 1997, applicant TORAY IND INC., discloses a multi way valve.
- 102. JP 09-168708, published June 30, 1997, applicant TORAY IND INC., discloses a water purifier.

- 103. JP 09-144913, published June 3, 1997, applicant TORAY IND INC., discloses a multidirectional valve, water purifier, and fluid distributing and mixing method.
- 104. 4,769,135 issued 09-06-1988 to Norton discloses an automatic metering system.

No fee is believed due as this information disclosure statement is being timely filed. Please charge deposit account 23-3060 if any fee deficiency exists.

Respectfully submitted,

WOODLING, KROST & RUST

Kenneth L. Mitchell

Reg. No. 36,873

(440) 256-4150

### EV374926568US

PTO/SB/08A (08-03) Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

substitute for form 1449/PTO

Sheet

### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use,as many sheets as necessary)

of 6

Complete if Known

Application Number 10/613,950

Filing Date July 3, 2003

First Named Inventor William Warren

Art Unit

Examiner Name

Attorney Docket Number 8172

·			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Document Number  Number-Kind Code <sup>2 (I known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 5,989,425	11-23-1999	YONEZAWA	ENTIRE DOCUMENT
		<sup>US-</sup> 5,017,286	05-21-1991	HEILIGMANN	ENTIRE DOCUMENT
		US- RE 35667	11-25-1997	HEILIGMANN	ENTIRE DOCUMENT
		<sup>US-</sup> 5,527,451	06-18-1996	HEMBREE	ENTIRE DOCUMENT
<del> </del>	<del></del>	<sup>US-</sup> 6,571,960B2	06-03-2003	WILLIAMSON	ENTIRE DOCUMENT
		<sup>US-</sup> 6,284,129B1	09-04-2001	GIORDANO	ENTIRE DOCUMENT
		<sup>US-</sup> 5,525,214	06-11-1996	HEMBREE	ENTIRE DOCUMENT
		<sup>US-</sup> 6,241,880	06-05-2001	YAHR	ENTIRE DOCUMENT
		<sup>US-</sup> 5,652,008	07-29-1997	HEILIGMANN	ENTIRE DOCUMENT
		<sup>US-</sup> 6,123,837	09-26-2000	WADSWORTH	ENTIRE DOCUMENT
		<sup>US-</sup> 4,980,073	12-25-1990	WOODRUFF	ENTIRE DOCUMENT
<del></del>		<sup>US-</sup> 4,918,426	04-17-1990	BUTTS	ENTIRE DOCUMENT
		<sup>US-</sup> 4,934,597	06-19-1990	CRUTCHER	ENTIRE DOCUMENT
		<sup>US-</sup> 4,686,037	08-11-1997	LANG	ENTIRE DOCUMENT
		US- 4,504,389	03-12-1985	RUNDZAITIS	ENTIRE DOCUMENT
		<sup>US-</sup> 4,359,384	11-16-1982	BRANE	ENTIRE DOCUMENT
		<sup>US-</sup> 4,172,796	10-30-1979	CORDER	ENTIRE DOCUMENT
		<sup>US-</sup> 4,151,092	04-24-1979	GRIMM	ENTIRE DOCUMENT
		<sup>US-</sup> 6,571,960B2	06-03-2003	WILLIAMSON	ENTIRE DOCUMENT

		FOREI	GN PATENT DOCL	IMENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	<b>-</b> 6
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	MM-DD-YYYY		Or Relevant Figures Appear	1
		JP2001-162113	06-19-2001	TORAY IND INC	ENTIRE DOCUMENT	
		JP2000-304141	11-02-2000	TORAY IND INC	ENTIRE DOCUMENT	
		JP2000-210661	08-02-2000	TORAY IND INC	ENTIRE DOCUMENT	
		JP11-270720	10-05-1999	TORAY IND INC	ENTIRE DOCUMENT	
		JP11-217858	08-10-1999	TORAY IND INC	ENTIRE DOCUMENT	
		JP09-264441	10-07-1997	TORAY IND INC.	ENTIRE DOCUMENT	

Examiner	Date	
Signature	Considered	
( ~		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

MAY 0 5 2004 Und the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**Attorney Docket Number** 

Substitute for form 1449/PTO

Sheet 2

#### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of 6

**Application Number** 10/613,950 JULY 3, 2003 Filing Date William Warren First Named Inventor **Art Unit Examiner Name** 

8172

Complete if Known

	U. S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Document Number  Number-Kind Code <sup>2 (f known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 3,746,171	07-17-1973	THOMSEN	ENTIRE DOCUMENT
		<sup>US-</sup> 6,241,103B1	06-05-2001	HEMBREE	ENTIRE DOCUMENT
		<sup>US-</sup> 4,769,135	09-06-1988	NORTON	ENTIRE DOCUMENT
		<sup>US-</sup> D256,944	09-16-1980	FOX	ENTIRE DOCUMENT
		<sup>US-</sup> D377,515	01-21-1997	HEMBREE	ENTIRE DOCUMENT
		<sup>US-</sup> 4,686,037	08-11-1987	LANG	ENTIRE DOCUMENT
		<sup>US-</sup> 5,192,436	03-09-1993	SASAKI	ENTIRE DOCUMENT
		<sup>US-</sup> 4,379,053	04-05-1983	BRANE	ENTIRE DOCUMENT
		<sup>US-</sup> D296925	07-26-1988	GROEZINGER	ENTIRE DOCUMENT
		<sup>US-</sup> 2,955,712	10-11-1960	GUTKOWSKI	ENTIRE DOCUMENT
		<sup>US-</sup> 2,568,181	09-18-1951	ZIMMERMAN	ENTIRE DOCUMENT
		<sup>US-</sup> D328,333	07-28-1992	CASBERG	ENTIRE DOCUMENT
		<sup>US-</sup> 5,328,609	07-12-1994	MAGNUSSON	ENTIRE DOCUMENT
		<sup>US-</sup> 4,698,164	10-06-1987	ELLIS	ENTIRE DOCUMENT
		us- 5,254,242	10-19-1993	VAN DER MEER	ENTIRE DOCUMENT
		us- 5,050,772	09-24-1991	BRANE	ENTIRE DOCUMENT
		<sup>US-</sup> 5,065,901	11-19-1991	BRANE	ENTIRE DOCUMENT
		<sup>US-</sup> 4,770,768	09-13-1988	LANG	ENTIRE DOCUMENT
		<sup>US-</sup> 4,918,426	04-17-1990	BUTTS	ENTIRE DOCUMENT

	·	FORE	IGN PATENT DOCL	JMENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code <sup>3 -</sup> Number <sup>4 -</sup> Kind Code <sup>5</sup> (if known)	MM-DD-YYYY		Or Relevant Figures Appear	Τ <sup>6</sup>
		JP 09-264436	10-07-1997	TORAY	ENTIRE DOCUMENT	
		JP 09-253533	09-30-1997	TORAY	ENTIRE DOCUMENT	
		JP-09-253424	09-30-1997	TORAY	ENTIRE DOCUMENT	
		JP-09-168708	06-30-1997	TORAY	ENTIRE DOCUMENT	
		JP-09-168708	06-30-1997	TORAY	ENTIRE DOCUMENT	
- "		JP-09-144913	06-03-1997	TORAY	ENTIRE DOCUMENT	

Examiner	Date	
Signature	Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

er the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

Sheet 3

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of 6

Complete if Known

Application Number 10/613,950

Filing Date JULY 3, 2003

First Named Inventor William Warren

Art Unit

Examiner Name

Attorney Docket Number 8172

			U. S. PATENT	TOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Document Number  Number-Kind Code <sup>2 (F known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	<del>                                     </del>	<sup>US-</sup> 4,489,616	12-25-1984	PRIDDY	ENTIRE DOCUMENT
		<sup>US-</sup> 5,099,870	03-31-1992	MOORE	ENTIRE DOCUMENT
		<sup>US-</sup> 4,885,081	12-05-1989	OLIVER	ENTIRE DOCUMENT
		<sup>US-</sup> 5,089,144	02-18-1992	OZKAHYAOGLU	ENTIRE DOCUMENT
		<sup>US-</sup> 4,772,386	09-20-1988	GROUT	ENTIRE DOCUMENT
		<sup>US-</sup> 4,681,677	07-21-1987	KUH	ENTIRE DOCUMENT
		<sup>US-</sup> 5,785,844	07-28-1998	LUND	ENTIRE DOCUMENT
-		<sup>US-</sup> 5,536,394	07-16-1996	LUND	ENTIRE DOCUMENT
		<sup>US-</sup> 6,517,720B1	02-11-2003	ALDRED	ENTIRE DOCUMENT
		<sup>US-</sup> 6,482,325	11-19-2002	CORLETT	ENTIRE DOCUMENT
		<sup>US-</sup> 6,517,707B2	02-11-2003	GIORDANO	ENTIRE DOCUMENT
		<sup>US-</sup> 6,093,313	07-25-2000	BOVAIRD	ENTIRE DOCUMENT
		<sup>US-</sup> 4,147,631	04-03-1979	DEINES	ENTIRE DOCUMENT
		<sup>US-</sup> 3,853,761	12-10-1974	MCCLORY	ENTIRE DOCUMENT
		us- 3,443,753	05-13-1969	MCDONNELL	ENTIRE DOCUMENT
		<sup>US-</sup> 0,527,451	10-16-1894	RICHARDS	ENTIRE DOCUMENT
		<sup>US-</sup> 4,107,046	08-15-1978	CORDER	ENTIRE DOCUMENT
		<sup>US-</sup> 6,251,274B1	06-26-2001	SHEPHERD	ENTIRE DOCUMENT
		<sup>US-</sup> 5,685,981	11-11-1997	KOSLOW	ENTIRE DOCUMENT

		FORE	IGN PATENT DOCL	JMENTS		
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
, <u>.</u>		JP 07-116657	05-09-1995	TORAY IND INC.	ENTIRE DOCUMENT	
	<del> </del>	JP 62-180176	08-07-1987	TORAY IND INC.	ENTIRE DOCUMENT	
		JP 62-155380	10-07-1987	TORAY IND INC.	ENTIRE DOCUMENT	
		JP 58-187666	11-01-1983	TORAY IND INC.	ENTIRE DOCUMENT	
		JP 57-016823	08-10-1983	TORAY IND INC.	ENTIRE DOCUMENT	
		JP 2003-156160	05-30-2003	TORAY IND INC.	ENTIRE DOCUMENT	

Examiner	Date	
Signature	Considered	
<b>.</b>	j .	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006, OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Unget the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

14

Sheet

#### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of 6

Complete if Known **Application Number** 10/613,950 JULY 3, 2003 Filing Date First Named Inventor William Warren **Art Unit Examiner Name Attorney Docket Number** 8172

U. S. PATENT DOCUMENTS							
Examiner Initials*	Cite No.1	Document Number  Number-Kind Code <sup>2 (# known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear		
	<del>                                     </del>	US- 5,580,447	12-03-1996	PLATTER	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,340,478	08-23-1994	STRAND	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,279,748	01-18-1994	HACKETT	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,273,650	12-28-1993	VERMES	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,256,287	10-26-1993	UNDERWOOD	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,164,082	11-17-1992	LIN	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,151,179	09-29-1992	BACH	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,108,606	04-28-1992	MAGLIO	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,248,417	09-28-1993	REID	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,622,618	04-22-1997	BRANE	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,976,362	11-02-1999	WADSWORTH	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,337,956	08-16-1994	CRUTCHER	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,753,118	05-19-1998	YANG	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,160,038	11-03-1992	HARADA	ENTIRE DOCUMENT		
	_	<sup>US-</sup> 5,976,432	11-02-1999	YANG	ENTIRE DOCUMENT		
		<sup>US-</sup> 5,705,067	01-06-1998	SUMI	ENTIRE DOCUMENT		
		<sup>US-</sup> D441,834S	05-08-2001	MCGRATH	ENTIRE DOCUMENT		
		<sup>US-</sup> 6,149,801	11-21-2000	GIORDANO	ENTIRE DOCUMENT		
		<sup>US-</sup> 6,106,705	08-22-2000	GIORDANO	ENTIRE DOCUMENT		

		FOREI	GN PATENT DOCL	IMENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	<del>_</del> 6
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	MM-DD-YYYY		Or Relevant Figures Appear	L
		JP 2003-15616A	05-30-2003	TORAY IND INC.	ENTIRE DOCUMENT	
		GB2093005	08-25-1982	STANDARD MESSG.	ENTIRE DOCUMENT	
		EP0 537 528A1	04-21-1993	JANIX KABUSHIKI	ENTIRE DOCUMENT	
	<u> </u>	<u> </u>				

Examiner	Date	
Signature	Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Ungo the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

5

Sheet

MAY 0 5 2004

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of 16

Complete if Known				
Application Number	10/613,950			
Filing Date	July 3, 2003			
First Named Inventor	William Warren			
Art Unit				
Examiner Name				
Attorney Docket Number	8172			

	<u> </u>		U. S. PATEN	DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number  Number-Kind Code <sup>2 (F known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		<sup>US-</sup> 5,935,426	08-10-1999	Giordano	ENTIRE DOCUMENT
		<sup>US-</sup> 5,833,849	11-10-1998	Primdahl	ENTIRE DOCUMENT
		<sup>US-</sup> D398703	09-22-1998	HAYES	ENTIRE DOCUMENT
		US-			
*_ * *		US-		·	
	<u> </u>	US-			
		US-			
		US-			
		US-			
	<del> </del>	US-			
<del></del>		US-			
		US-			

		FOREIGI	N PATENT DOCU	MENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	4
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	MM-DD-YYYY		Or Relevant Figures Appear	<u> </u>
				· · · · · · · · · · · · · · · · · · ·		

Examiner	Date	
Signature	Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known RAMES NO STATE OF FORM 1449/PTO **Application Number** 10/613,950 Filing Date INFORMATION DISCLOSURE July 3, 2003 STATEMENT BY APPLICANT **First Named Inventor** William Warren Art Unit (Use as many sheets as necessary) **Examiner Name** Attorney Docket Number 6 6 8172 Sheet of

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		www.torayvino.com web page dated June 6, 2003 along with a translation into English, 15 pages	
		www.purwater.com web page dated Aug. 22, 2003, 11 pages	
		pur advertisement, 2 pages	
	-		
Examiner	1	Date	
	1		

Signature Considered

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.